

**TRANSMITTAL LETTER  
(General – Patent Pending)**

Docket No.  
36194/42366

In Re Application Of:  
Tully et al.

Serial No.  
10/692,067

Filing Date  
October 22, 2003

Examiner  
Not Yet Assigned

Group Art Unit  
Not Yet Assigned

Title:  
System And Method For The Automated Brokerage Of Financial Instruments

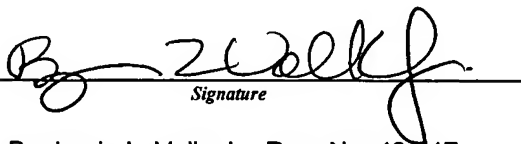
TO THE COMMISSIONER OF PATENTS AND TRADEMARKS

Transmitted herewith is:

1. Power of Attorney; and
2. Statement Under 37 CFR 3.73(b) with assignment copy.

in the above identified application.

- ☒ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
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Signature

Dated: November 12, 2003

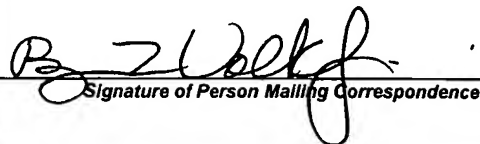
Benjamin L. Volk, Jr., Reg. No. 48,017  
Thompson Coburn LLP  
One US Bank Plaza, Suite 3500  
St. Louis, Missouri 63101-9928  
314-552-6000  
314-552-7000 FAX



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PATENT TRADEMARK OFFICE

I certify that the document and fee is being deposited on November 12, 2003, with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Signature of Person Mailing Correspondence

Benjamin L. Volk, Jr.

Typed or Printed Name of Person Mailing Correspondence

P16B/REV01

**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT**

Applicati n Number	10/692,067
Filing Date	October 22, 2003
First Named Inventor	Tully et al.
Title	System And Method For The Automated Brokerage Of Financial Instruments
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	36194/42366

I hereby appoint:

☒ Practitioners at Customer Number  
OR

021888



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PATENT TRADEMARK OFFICE

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

☐ Firm or  
Individual Name

Benjamin L. Volk, Jr.

Address

Thompson Coburn LLP

Address

One US Bank Plaza

City

St. Louis

State

MO

Zip

63101-9928

Country

USA

Telephone

314-552-6000

Fax

314-552-7000

I am the:



Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

Name

Andrew C. Small, General Counsel, Scottrad, Inc.

Signature

Date

Nov 5, 2003

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Attorney Docket No.  
36194/42366

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PTO/SB/96 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**STATEMENT UNDER 37 CFR 3.73(b)**

Assignee/Patent Owner: Tully et al.

Application No./Patent No.: 10/692,067

Filed/Issue Date: October 22, 2003

Entitled: System And Method For The Automated Brokerage Of Financial Instruments

Scottrade, Inc.

(Name of Assignee)

, a corporation of the state of Arizona

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

11/5/03  
Date

Andrew C. Small  
Typed or printed name

[Signature]  
Signature

General Counsel, Scottrade, Inc.  
Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ASSIGNMENT

WHEREAS, we, Michael James Tully of 12136 Wesmeade, Maryland Heights, Missouri 63043; Virgil Michael Scott of 2527 Balaji Court, Wildwood, Missouri 63011; Dwayne Oliver Randle of 11847 Brookington Drive, Bridgeton, Missouri 63044; and Gregory Paul Lembree of 759 Falcon Hill Trail, O'Fallon, Missouri 63366, have invented certain new and useful improvements for a *System And Method For The Automated Brokerage Of Financial Instruments* for which we have this same day executed an application for Letters Patent in the United States identifying us as the only inventors thereof (said application being identified as Thompson Coburn LLP, Docket 36194/42366); and

WHEREAS, Scottrade, Inc., a corporation of the State of Arizona having its principal office and place of business at 12855 Flushing Meadows Drive, St. Louis, Missouri 63131-1814, is desirous of acquiring the entire right, title and interest in and to said invention and improvements as disclosed in said application, in and to said application, and in and to the patent to be obtained thereon.

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt and adequacy of all of which are hereby acknowledged, we, Michael James Tully, Virgil Michael Scott, Dwayne Oliver Randle, and Gregory Paul Lembree, have sold, assigned and transferred and do hereby sell, assign and transfer unto said Scottrade, Inc., its successors or assigns, the entire right, title and interest in and to said invention and improvements as the same are disclosed in said application which was executed by us concurrently herewith preparatory to filing for Letters Patent, in and to said application, and in and to any Letters Patent, including divisionals, continuations, reissues, reexaminations and extensions to be obtained therefor in the United States and all foreign countries; and we further agree to cooperate with the assignee hereunder in the obtaining and sustaining of any and all such Letters Patent as the assignee may desire to apply for, but at the expense of said assignee.

The Commissioner of Patents or other proper official is hereby authorized and requested to issue said Letters Patent to said in accordance with this Assignment.

The undersigned hereby authorizes and requests the attorneys of record in said application(s) to insert in this Assignment the serial number, filing date, and date of execution of said application(s).

For said considerations, the undersigned hereby agrees, upon the request and at the expense of said Assignee, to execute any divisional, continuation, continuation-in-part or substitute application for said invention or improvements, and any oath or affidavit relating thereto, and any application for the reissue or extension of any Letters Patent that may be granted upon said application(s), and, in the event of any application or Letters Patent assigned herein becoming involved in an interference, to cooperate to the best of the ability of the undersigned in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof. The

undersigned agrees to perform, upon request, any affirmative acts to obtain said Letters Patent of the United States and vest in said Assignee all rights therein, whereby said Letters Patent will be held and enjoyed by said Assignee, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by the undersigned if this assignment has not been made.

And for said consideration, the undersigned hereby assigns to said Assignee the entire right, title and interest in said invention or improvements for all foreign countries, including all priority rights, and agrees to execute, at the request of said Assignee, all documents in connection with any application for foreign Letters Patent therefor.

IN WITNESS WHEREOF, I have hereunto set my hand the 22nd day of October 2003.

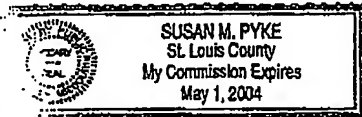
Michael James Tully  
Michael James Tully

STATE OF Missouri  
COUNTY OF St. Louis

SS

On this 22nd day of October 2003 before me, a Notary Public, within and for the County of St. Louis, State of Missouri, personally appeared MICHAEL JAMES TULLY, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written.



Susan M Pyke  
Notary Public

My Commission Expires: 5/1/04

WITNESS:

WITNESS:

By: \_\_\_\_\_

By: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Printed Name: \_\_\_\_\_

IN WITNESS WHEREOF, I have hereunto set my hand the 22nd day of October 2003.

Virgil Michael Scott  
Virgil Michael Scott

STATE OF Missouri  
COUNTY OF St. Louis

SS

On this 22nd day of October 2003 before me, a Notary Public, within and for the County of St. Louis, State of Missouri, personally appeared VIRGIL MICHAEL SCOTT, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written.



Susan M Pyke  
Notary Public

My Commission Expires: 5/1/04

WITNESS:

WITNESS:

By: \_\_\_\_\_  
Printed Name: \_\_\_\_\_

By: \_\_\_\_\_  
Printed Name: \_\_\_\_\_

IN WITNESS WHEREOF, I have hereunto set my hand the 22nd day of October 2003.

Dwayne Oliver Randle  
Dwayne Oliver Randle

STATE OF Missouri  
COUNTY OF St Louis

SS

On this 22nd day of October 2003 before me, a Notary Public, within and for the County of St. Louis, State of Missouri, personally appeared DWAYNE OLIVER RANDLE, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written



Susan M Pyke  
Notary Public

My Commission Expires: 5/1/04

WITNESS:

WITNESS:

By: \_\_\_\_\_

By: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Printed Name: \_\_\_\_\_

IN WITNESS WHEREOF, I have hereunto set my hand the 22nd day of October 2003.

*Gregory Paul Lembree*  
Gregory Paul Lembree

STATE OF Missouri  
COUNTY OF St Louis

SS

On this 22nd day of October 2003 before me, a Notary Public, within and for the County of County of St. Louis, State of Missouri, personally appeared GREGORY PAUL LEMBREE, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written.



*Susan M Pyke*  
Notary Public

My Commission Expires: 5/1/04

WITNESS:  
  
By: \_\_\_\_\_  
Printed Name: \_\_\_\_\_

WITNESS:  
  
By: \_\_\_\_\_  
Printed Name: \_\_\_\_\_